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Regulatory Actions (see more ...)

Comments of Security Traders Association of New York on S7-23-03

OFFICERS LISA M. UTASI Smith Barney Asset Management President WILLIAM R. FLANAGAN The New York Stock Exchange First Vice President VAL J. KOSMIDER Val J. Kosmider & Company Second Vice President
Size: 21680 Modified: 01/19/2004 </rules/proposed/s72303/stany011304.htm>

Proposed Rule: S7-31-99

Agency: Securities and Exchange Commission Action: Proposed rule Summary: The Securities and Exchange Commission is proposing new rules to address three issues: the selective disclosure by
Size: 196270 Modified: 02/07/2000 </rules/proposed/34-42259.htm>

Comments of Gary L. Gastineau on S7-27-03

February 2, 2004 Jonathan G. Katz, Secretary Securities & Exchange Commission 450 Fifth Street, N.W. Washington, D.C. 20549-0609 Dear Mr. Katz: I am writing in response to the Commission's request
Size: 52341 Modified: 02/12/2004 </rules/proposed/s72703/ggastineau020604.htm>

SEC Interpretation: Short Sales

Agency: Securities and Exchange Commission. Action: Concept release; Request for comments. Summary: The Securities and Exchange Commission is seeking public comment on the regulation of short sales
Size: 77211 Modified: 10/21/1999 </rules/concept/34-42037.htm>


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Miscellaneous (see more ...)

SEC Rules of Practice - July 2003

Rule 100. Scope of the Rules of Practice. (a) Unless provided otherwise, these Rules of Practice govern proceedings before the Commission under the statutes that it administers. (b) These rules do

Size: 366352 Modified: 04/16/2004 </about/rulesprac072003.htm>

SEC Rules of Practice - June 2004

General Rules Initiation of Proceedings and Prehearing Rules Rules Regarding Hearings Appeal to the Commission and Commission Review Rules Relating to Temporary Orders and Suspensions Rules Regarding

Size: 251053 Modified: 06/03/2004 </about/rulesprac060304.htm>

SEC Rules of Practice - April 2004

General Rules Initiation of Proceedings and Prehearing Rules Rules Regarding Hearings Appeal to the Commission and Commission Review Rules Relating to Temporary Orders and Suspensions Rules Regarding

Size: 250819 Modified: 04/21/2004 </about/rulesprac042004.htm>

Form ADV - Instructions

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Domestic Trading

... a **block trader** for Jones and Assoc., Roth Capital, Hambrecht and Quist, Unterberg Tobin and Preferred Capital Markets prior to coming to Nutmeg **Securities** in ...
www.nutmegsecurities.com/institutional_trading.html - 6k - [Cached](#) - [Similar pages](#)

Ivy Securities, Inc.

... Duke Swiderski joined Ivy **Securities**, Inc. as an institutional **block trader** in 2004. Mr. Swiderski has over twenty years of cumulative trading experience. ...
www.ivysec.com/bios.htm - 14k - [Cached](#) - [Similar pages](#)

SpeedTrader.com - Online Trading - Day Trading - Level II Quotes & ...

... cost trading, platform **traders**, trade, station, **securities**, cyber, **trader**, streaming quote ... instaquote, iq, pro, option, options trading, **block**, day **trader** ...
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The Globe and Mail

... GMP Capital, with a strong mining franchise, was the top **block trader**, ranked by volume of shares bought and sold. TD **Securities** was the top house for ...
www.theglobeandmail.com/servlet/ArticleNews/TPStory/LAC/20040812/RWILLIS12/TPColumnists/ - 60k - [Cached](#) - [Similar pages](#)

Mgmt Earnings TOC

... n/a*. (65) **Block Trader** (Senior). n/a*. ... 84. (68) Corporate Bond **Trader** (Senior). 86. (69) Government **Securities Trader** (Junior). 88. ...
www.sia.com/surveys/html/mgmt_earnings_toc.html - 101k - [Cached](#) - [Similar pages](#)

Harborside+ :: News

... mechanism for executing large **block** trades, Thomson ... bid and offer, a **trader** at Harborside+'s broker/dealer - Harborside **Securities** - then phones ...
www.harborsideplus.com/news_013.asp - 27k - [Cached](#) - [Similar pages](#)

PFF Bank & Trust - Career Opportunities - Securities Trader

... advisor in eastern LA County is seeking a **securities trader**. In this position, the **trader** will be responsible ... trading records and documentation for **block** trades ...
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Forbes Online Store

www.newsletters.forbes.com/.../ControllerServlet?Action=DisplayHomePage&SiteID=es_764&Locale=en_US - 52k - [Cached](#) - [Similar pages](#)

rbcdain.com - - Press Releases

... for managing both the listed **block** as well as ... Mike Manookian, senior coverage **trader**, assumes responsibilities of ... 15 years at Montgomery **Securities**, where he ...
www.rbcdain.com/DRP_1.0/Public_Site/Common_Pages/DRP_1.0VPRIndex/1,37977,4-6-3-48,00.html - 11k - [Cached](#) - [Similar pages](#)

Finance Club - Resources > Sales and Trading

... Typically, **block traders** or flow **traders** deal in active, mature markets, such as government **securities**, stocks, currencies and corporate bonds. ...


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Bingo Questions

... In soccer, also known as 18-yard box? KATHLEEN, **Penalty box**, RUDY. ...
 VICTOR, Mexican Soccer player, JESUS. Name of the **foreign exchange**
 student on '70's show'? ...
www.mandalayshores.com/Valex/Meetings/Jan03/bingo_questions.htm -
 101k - Supplemental Result - [Cached](#) - [Similar pages](#)

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Foreign Exchange

Free information and resources
 concerning **foreign exchange**.
www.commerce-database.com

Calcutta Online - September 5, 1999 Newspaper

... of the regulatory and reporting requirements pertinent to **foreign exchange**, he added ...
 when the Sporting defence obstructed the Bengal player in the **Penalty box**. ...
www.calonline.com/news/Sep99%5C05Sep99.html - 73k - [Cached](#) - [Similar pages](#)

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The Globe and Mail

... analyst Brian Prokop says, "gets out of the **penalty box**," investors are also waiting for
 the return of the "old" Buckee: the one ... **Foreign Exchange** 1:50 PM EST. ...
[www.globeandmail.com/servlet/ArticleNews/](http://www.globeandmail.com/servlet/ArticleNews/TPStory/LAC/20030509/RWEST/TPBusiness/Columnists)
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Ghanaian Newsranner Back-issue

... heavily be patronised during PANAFEST '96 to earn the nation the needed **foreign**
exchange. ... Taking a pass close to the **penalty box**, Traore released a shot which ...
www.newsranner.com/archive/NW231295.HTM - 42k - [Cached](#) - [Similar pages](#)

Damage Lyrics | Hope | HipHop (Rap) Database

... Put hockey sticks in your throat...from the **penalty box**. Enemies jock while their girl
 shows athletic support. ... August 24, 2004. **Foreign Exchange**, The Connected. ...
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Grand Finale Lyrics | Belly Soundtrack | HipHop (Rap) Database

... for the weak to last now behold the unstoppable Third eye watchin you, watchin me
 Throwin rocks from the **penalty box**, cop a ... **Foreign Exchange**, The Connected. ...
www.hhdb.com/lyrics/576/ - 43k - [Cached](#) - [Similar pages](#)

KhmerLife.com : Recognize : areyouKHMER.com : AYK : KhmerLife ...

... girl in my group and a japanese **foreign exchange** student..quite ...
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Gallup Independent 8-31-01

... Gallup was called for a foul inside **penalty box** and Eagle Miguel Esquibel ... returning
 from last year's state playoff team, three **foreign exchange** students and ...
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... Manages **foreign exchange** portfolios for banks,financial institutions, investment funds
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Fortune, Ethiopia's Business Weekly


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Securities Glossary - English

... Acknowledgment: A written acknowledgment to the firm that it may use the money and **securities** in the guaranteeing account without **restriction** to carry the ...

www.thectr.com/glossary/**securities**/english.htm - 101k - [Cached](#) - [Similar pages](#)

The Trinidad & Tobago Securities and Exchange Commission

... 58. Application for registration as **trader**. 59. ... 92. **Restriction** on trading at residence. 93. ... Standards of conduct for persons trading in unlisted **securities**. 97. ...

www.ttsec.gov.tt/ttsia.htm - 41k - [Cached](#) - [Similar pages](#)

CyberTrading University

... the account funds eligible to be traded without **restriction**. ... The **TRADER'S** Group is not a Broker/Dealer or ... is held with Great Eastern **Securities** which clears ...

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InvestIN Securities Corp.

... contact information as well as **Trader** Support Updates. ... Customer Profile Interface which includes **Restriction** and Call ... Copyright ©2003 InvestIN **Securities** Corp ...

investin.com/features2.html - 11k - [Cached](#) - [Similar pages](#)

NASDAQ Exchange-Listed Trading

... links buyers and sellers without the **restriction** of funneling ... of NYSE- and Amex-listed **securities**, which ultimately ... July 22, 2004, Head **Trader** Alert #2004-101 ...

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... This paper analyzes models of **securities** markets with a ... type model in which the informed **trader** plays a mixed ... link to full text Download **Restriction**: Access to ...

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GTT RESOURCES: SECURITIES VERSUS COMMODITIES

... Similarly, a **trader** speculated in corn futures ... Investments In "Capital Assets" (**Securities**) The tax ... every possible business expense without **restriction**. ...

www.greencompany.com/EducationCenter/ GTTRecSecuritiesVsCommodities.shtml - 76k - [Cached](#) - [Similar pages](#)

Products & Services

... will be invested in transferable **securities** issued by ... There is no **restriction** on the economic sectors or ... Maximum Sales Charge, -, Direct **Trader** Discount, =, Direct ...

www.rbs-sharedealing.co.uk/ rbs-public/fundinfo/fundsraith.htm - 38k - [Cached](#) - [Similar pages](#)

ABASA: Selective Disclosure/Insider Trading Comment Letter

... tracking a market index, segment or group of **securities**. ... it be changed after the **trader** becomes aware ... free to trade in the company's stock without **restriction**. ...

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34-43503

... firm, and Joseph F. Riccio, who was Global's **trader**. ... non-bona fide bid quotations


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 ... **RESTRICTIONS** EXTEND TO OTHER **SECURITIES** IN ADDITION TO SHARES This policy covers **trading** not only in the Company's shares, but also in other **securities** of the ...

[www.perilya.com.au/Corporate%20Governance/ SecuritiesTradingPolicy.pdf](http://www.perilya.com.au/Corporate%20Governance/SecuritiesTradingPolicy.pdf) - [Similar pages](#)

Toronto Stock Exchange : Volume 3 >>> Issue 2 >>> June 2004

 ... First, the **restriction** is not applied globally, but rather to those ... to obtain clearance from a compliance officer before **trading** in the issuer's **securities**. ...

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 ... This **restriction** on "insider **trading**" is not limited to **trading** in Boeing stock or bonds. It includes **trading** in the **securities** of other firms, particularly ...

www.boeing.com/companyoffices/aboutus/ethics/pro12.pdf - [Similar pages](#)

MegaMania Interactive - Website Design - Internet Marketing

 ... News MegaMania Interactive Announces Removal of Errant **Trading Restriction** on Ameritrade ... clients asking how they could purchase the company's **securities**. ...

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Assisting Insiders With Federal Securities Law Compliance

 ... 1 Summary of Federal **Securities** Law Section ... Sale **Trading** Prohibitions.....

 6 Regulation Blackout **Trading Restriction** (BTR) - **Trading** ...

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Perkins Coie: SEC Proposes Rules Regarding Restrictions on Insider ...

 ... from the **trading restriction**: a regularly scheduled blackout period in which participants may not engage in transactions of the equity **securities** if such ...

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Trading Restrictions in Cash Accounts

Trading Restrictions in Cash Accounts. Regulation T requires clients to make full cash payment when purchasing **securities** in cash accounts. ...

[www.ameritrade.com/educationv2/ fhtml/glossary/TradRestCashAccts.fhtml](http://www.ameritrade.com/educationv2/fhtml/glossary/TradRestCashAccts.fhtml) - 8k - [Cached](#) - [Similar pages](#)

Elektrobit Group - Insider Administration

 ... to abuse insider information, and on the personnel's own **securities trading**. ... by the Helsinki Exchanges and other related regulations and **restrictions**, and to ...

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 ... The **trading window restriction** does not apply to the purchase of Company **Securities** upon exercise of options granted under a NAVTEQ equity incentive plan where ...

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co. ...

cbs.marketwatch.com/tools/stockresearch/upDown/ default.asp?siteid=google&type=2&nx=38191.48819444... -

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Goldman ups eBay's Q1, but it may not be enough

... Out of the **penalty box**? ... Online Stock Broker RushTrade **Securities**, member NASD, PSE, and SIPC ... Become a better **trader** with technical analysis of the market's ...

cbs.marketwatch.com/news/ story.asp?guid=%7B725C2DB3-AA54-42F7-BF48-1E8A0BFBBDDCC%

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TigerInvestor.com - About Us

... Consulting in Finance and my **securities** fascination was ... Age: 26 Articles archive

Discussion Forum: Rak's **Penalty Box**. ... I'm an independent **trader** trading my own ...

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The rise and fall of broker Mark Valentine

... the firm quickly promoted him to sell **securities** to its ... describe Mr. Valentine as a calm **trader** with a ... up a stock order he cried "**penalty box**" and temporarily ...

www.rgm.com/articles/theriseandfall.html - 24k - [Cached](#) - [Similar pages](#)

Electric Utility Stocks: Power Ahead

... the electric utilities for First Union **Securities** in Richmond ... the merchant level, where a marketer or **trader** will buy ... come out of the "M&A **penalty box**" as most ...

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TMF: Personal Profiles

... Last Posts: Job: **Securities Trader**. School(s) Attended: NYU, UCB. Favorite Stocks:

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TheStreet.com: Lessons of the Fall: LTCM's Meriwether May Rise ...

... But now they're in the **penalty box**". ... Group, a fund that specializes in mortgage-backed **securities** and faced ... more en vogue now than the big **trader**," notes the ...

www.thestreet.com/stocks/brokerages/786911.html - 47k - [Cached](#) - [Similar pages](#)

ClearStation : News Articles : CWST

... we got a violent turnaround," said one **trader**. ... said on Wednesday the US **Securities** and Exchange ... AOL in the 'investor confidence' **penalty box**," Levenson wrote. ...

clearstation.etrade.com/ cgi-bin/bbs?post_id=3472983& - 30k - Supplemental Result - [Cached](#) - [Similar pages](#)

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